

COURSE OUTLINE:

Preparing for the Senior Managers and Certified Persons Regime

0.5 day
4 CPE Credits

Overview

This fast paced half day course aims to bring banking staff up to speed with the new Senior Managers and Certified Persons Regime. It should enable them to benchmark their internal preparation with what the regulators expect at this stage, and help with the identification of key risks and action points, in order to ensure effective implementation of the regime once it comes into force at some point next year. During the day consideration will be given to the new Conduct Rules, disciplinary issues, reporting to the regulator, Competence and capability of staff, and the link between the new regime and the overall culture of the firm.

Learning Objectives

At the conclusion of the course delegates will:

- » Know the origins, structure and intention of the new Senior Managers and Certified Persons regime
- » Understand how to draft a Statement of Responsibilities and Management Responsibilities Map
- » Be able to identify the training and competence requirements for the senior manager population
- » Know the enforcement powers of the regulators against senior managers, and certified persons
- » Have the tools they need to effectively support senior managers to mitigate personal regulatory risk
- » Understand the responsibilities of the firm in administering an internal certification regime.
- » Be able to benchmark their existing preparation with what the regulator expects
- » Understand which staff need to be certified, and how to evidence competence and capability for this population
- » Understand the reporting and notification duties of firms, when a suspected or actual breach of conduct rules, or other disciplinary action, has occurred
- » Know how the certification regime and senior managers regime fit together and complement each other

Who Should Attend

- » Compliance
- » Risk
- » Audit
- » Hr
- » Senior managers
- » Those who will be certified persons

Program Level

Program Level: Intermediate

Prerequisites: One to two years' experience in a regulated firm.

Advanced Preparation: Pre reading will be provided, giving the background and origins of the regime.

Delivery Method: Group-Live

Accreditation

Moody's Analytics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit.

Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.nasbaregistry.org.

WHY MOODY'S ANALYTICS?

Current and Consultative

Our seminars are created and updated utilizing the extensive experience, skills and research of Moody's Analytics. For in-house training, we work with you to understand the distinct needs of your organization and design, implement, and track the performance of your learning programs from end-to-end, including skills assessment, program design, implementation, evaluation, and enhancement.

Comprehensive Coverage

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Unparalleled Expertise

Our training solutions leverage over a century of experience in risk assessment and the comprehensive tools, data, and analysis of Moody's Analytics to deliver timely, in-depth, and comprehensive knowledge. In delivery, our people make the difference – they combine deep experiences as financial practitioners, intellectual passion for the content, and superior academic credentials with a commitment to delivering outstanding quality.

Preparing for the Senior Managers and Certified Persons Regime – Agenda

Session 1: Background and origins of the new regime

- » The Libor Scandal
- » Parliamentary Commission on Banking Standards
- » Financial Services (Banking Reform) Act 2013
- » Scope of the regime
- » Link with conduct risk and culture

Session 2: Senior Managers

- » Which managers are in scope
- » Applications for approval
- » Prescribed responsibilities
- » Statement of Responsibilities
- » Responsibilities Maps
- » Handover arrangements
- » Conduct requirements
- » Training and Competence requirements
- » Reporting to the regulator
- » The reverse burden of proof for senior managers
- » The criminal offence
- » Senior Managers based abroad
- » Insurance and employment contract issues

Session 3: Certified Persons

- » Internal certification regime
- » Staff members in scope
- » FCA 'Significant harm' functions
- » PRA certification functions
- » Form and content of the certificate
- » Notification requirements and misconduct

Session 4: Other Staff caught by the Conduct rules

- » Population
- » Training and competence requirements

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Multiple Bookings

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The fee listed is per participant and includes refreshments, lunches and seminar materials. Seminar fees do not include tax, transportation or hotel accommodations. Payment must be received in full prior to the start of the seminar. Registrations may be cancelled in writing via letter or email at least 30 days before the first date of the training for a full refund. Cancellations received less than 30 days in advance are eligible for substitution with another seminar, but fees will not be refunded. We reserve the right to cancel or reschedule seminars at any time. For further information on our refund and complaint policy, please contact us.

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